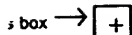




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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/877,585
	Filing Date	06/08/2001
	First Named Inventor	Basford, William C.
	Group Art Unit	2856
	Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Transmittal Letter
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Copies of References cited
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	Return Receipt Postcard
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Express Mail Label Number:	
	ET 540584272 US	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William C. Basford
Signature	<i>William C. Basford</i>
Date	Sept. 8, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 	
Typed or printed name	
Signature	Date

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 180

Complete if Known

Application Number	09/877,585
Filing Date	06/08/2001
First Named Inventor	Basford, William C.
Examiner Name	
Group Art Unit	2856
Attorney Docket No.	

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims		Extra Claims		Fee from below	Fee Paid
Independent	Multiple Dependent	-20**	-3**		

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	180
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180

SUBMITTED BY

Name (Print/Type)	William C. Basford	Registration No. (Attorney/Agent)	N/A	Telephone	802-229-0217
Signature	William C. Basford			Date	09/08/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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24 Vine Street, Apt. 2
Montpelier, VT 05602
September 8, 2001
(802) 229-0217

Assistant Commissioner for Patents
Washington, DC 20231

Dear Sir or Madam:

Enclosed with this transmittal letter is an Information Disclosure Statement to support my utility patent application 09/877,585, submitted on June 8, 2001, for an invention titled Apparatus to Reduce Base Drag Behind Bluff Bodies. This letter and the enclosed reference material will be sent by Express Mail, Post Office to Addressee, using the express mail label number attached to the transmittal form.

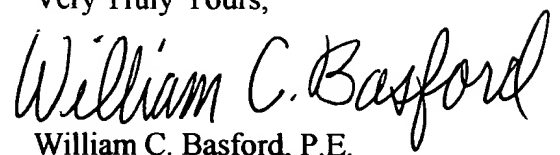
Due to the enormous volume of published literature on the topic of reducing the aerodynamic base drag of bluff bodies, I have listed and enclosed copies of only about twenty four of the most pertinent references. Other older publications listed in the references cited can be considered as further background material, but are less pertinent to the subject patent application.

Much of the recent work in this field has apparently been published only on the Internet, so I have included several web sites in my list of references, and enclosed printed copies of these web sites. The last reference listed, citation 20, is the web site of a team of researchers from several universities and government laboratories, which is working under contract to the U.S. Dept. of Energy's Office of Heavy Vehicle Technologies, on a project to reduce the aerodynamic drag of heavy vehicles. This project has apparently been focussed on using powerful computers and computational fluid dynamics (CFD) methods to confirm the drag reductions obtained by several previously known methods for base drag reduction. They have apparently not made any new advances to date in the art of aerodynamic base drag reduction.

Their web site alone lists about twenty-six electronic publications on the topic of aerodynamic drag reduction for heavy vehicles. Most of these publications are little more than slide shows, apparently intended to accompany oral presentations, and therefore contain little explanatory text. Nevertheless, many of these computer files are very large, due to their extensive use of color graphics in the files. Furthermore, no abstracts have been provided for most of these electronic publications, which makes it difficult to review their work in a timely manner.

Due to my lack of access to either a high speed Internet connection or a color printer, I have been unable to review many of the larger files, or to print the smaller files in a useful format. However, I have found no evidence to date that this team has discovered any of the novel features of the new base drag reduction method disclosed in my patent application.

Very Truly Yours,


William C. Basford, P.E.

Date: Sept. 8, 2001